



Australian Government

Department of Sustainability, Environment, Water, Population and Communities
Australian Antarctic Division

Guidelines for participation in the Australian Antarctic Science Program

2012–13 application round

These guidelines should be read in conjunction with the online Expression of Interest and Antarctic Research Application Forms and the following supporting information:

- Australia's Antarctic Science Strategic Plan at <http://www.antarctica.gov.au/science/australian-antarctic-science-strategic-plan-201112-202021>
- Animal Research Guidelines at <http://www.antarctica.gov.au/science/information-for-scientists/research-guidelines/animal-research-guidelines>
- Ionising Radiation Guidelines at <http://www.antarctica.gov.au/science/information-for-scientists/research-guidelines/ionising-radiation-guidelines>

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SECTION 1 INTRODUCTION

1.1 OVERVIEW

The Australian Antarctic Division (AAD) was formed in 1948 to administer and coordinate Australian National Antarctic Research Expeditions, which later became the Australian Antarctic program.

The AAD (part of the Australian Government Department of Sustainability, Environment, Water, Population and Communities) seeks to promote Antarctic policy which is based on the region's strategic, scientific, environmental and potential economic importance for Australia. The Government's key goals for the Antarctic Program are:

- maintaining the Antarctic Treaty System and enhancing Australia's influence within the System
- to protect the Antarctic environment
- to understand the role of Antarctica in the global climate system
- to undertake scientific work of practical, economic and national significance.

In 2009 the Australian Government reaffirmed the importance of Antarctica to national interests and agreed on the following key policy priorities for Australia's future engagement in the Antarctic:

- Maintaining and increasing Australia's physical presence in the Australian Antarctic Territory (AAT), including through scientific research, facilities and transport capabilities and the ability to conduct activities in all parts of the AAT, the Heard Island and McDonald Islands (HIMI) external territory and their adjacent waters.
- Maintaining Australia's diplomatic presence and increasing Australia's influence in Antarctica through actively engaging internationally in matters affecting Antarctic governance arrangements, including under the Antarctic Treaty and other international instruments.
- Continually improving the environmental management of Australia's activities and encouraging other states active in Antarctica and the Southern Ocean to do likewise, including through a revitalised Australian inspection program.
- Delivering scientific outputs that meet the defined policy needs of government.
- Pursuing collaborative science and logistics relationships with states active in eastern Antarctica focusing on Australia's key bilateral partners.
- Pursuing possible economic opportunities arising from Antarctic-related activities, including from:
 - well managed Antarctic tourism
 - sustainable, well regulated Southern Ocean fisheries
 - Australia's Antarctic gateway cities (Hobart, Perth and Sydney).

These policy priorities set the context for the Australian Antarctic program going forward including its important science activities – and have guided the Antarctic Science Advisory Committee's development of the strategic plan and its implementation.

The AAD provides operational and logistic support to scientific research, as well as funding under the Australian Antarctic Science (AAS) Grants Program. Due to the uncertain nature of Antarctic conditions (such as adverse weather and sea ice coverage) and financial considerations, the AAD cannot guarantee to provide this support in all circumstances.

The Program considers applications for science projects that require logistic support from the Australian Antarctic Program (AAP), and/or an Australian Antarctic Science Grant. Research projects that do not require Australian Antarctic logistics but are addressing the goals of the Science Strategic Plan (e.g. data modelling, or using existing samples, or remote sensed data) are welcome.

In 2010, the Antarctic Science Advisory Committee (ASAC) developed the [Science Strategic Plan](#).

The plan was developed following broad consultation with government science users (policy makers, environmental managers, service providers and defence and national security agencies) and the science community (universities and a number of publicly funded research agencies). It draws from national and international research frameworks and strategic plans, and aims to continue Australia's leading roles in many aspects of Antarctic and Southern Ocean research.

The Themes and Streams are:

Theme 1 Climate Processes and Change

Stream 1.1 The Antarctic Ice Sheet

Stream 1.2 Oceans and marine ice in the Southern Hemisphere

Stream 1.3 Atmospheric processes and change

Stream 1.4 Antarctic palaeoclimate

Theme 2 Terrestrial and Nearshore Ecosystems: Environmental Change and Conservation

Stream 2.1 Trends and sensitivity to change

Stream 2.2 Vulnerability and spatial protection

Stream 2.3 Human impacts: prevention, mitigation and remediation

Theme 3 Southern Ocean Ecosystems: Environmental Change and Conservation

Stream 3.1 Marine ecosystem change

Stream 3.2 Wildlife conservation

Stream 3.3 Southern Ocean fisheries

Stream 3.4 Protecting marine biodiversity

Theme 4 Frontier Science

The first three themes are interrelated and connect directly to key government policy drivers. To assist in coordinating the research effort within themes, each one has been subdivided into streams of research effort and each has defined goals and research questions which link to the theme goal. The Frontier Science theme has been developed to encourage and support research that falls outside of priorities of the three policy related themes, but within Australia's national science priorities.

The AAD invites research applications in 2011 for projects commencing in 2012–13 and beyond.

Projects requesting major logistic support (e.g. dedicated marine science days, deep-field projects, air-support for field or survey work or projects requiring field teams greater than six) should submit an EOI at least two years ahead of the season that they require the support. Therefore an application for a project that requires major logistic support, such as ship time in 2013–14 should be submitted in 2011.

The application process will open again in 2012, and thereafter every second year.

Applications must be submitted electronically using the online application system. Information on the process and links to the application forms is available at <http://www.antarctica.gov.au/science/information-for-scientists>. Applications must be formulated according to the requirements described in this document and research projects must address at least one Theme.

The online science application process occurs in two stages.

Figure 1 outlines the application process. The first stage is an **Expression of Interest** (EOI). The EOI questions are designed to provide a broad view of the proposal in relation to fit to the strategic goals of the Science Strategic Plan and to outline the likelihood of the proposal delivering expected outputs and outcomes.

After assessment of the EOI researchers may be invited to complete a full application. The questions in the full application form are designed to gather more detail on the project, particularly on the scientific approach and its path to impact. The full application will be assessed by expert scientific peer reviewers, and by the Antarctic Research Assessment Committee.

Chief investigators submitting full applications will be forwarded comments by external reviewers and given an opportunity to respond to the reviewers' comments through a rejoinder. They may also be contacted by various officers from the AAD Support Centre during the assessment process. This does not indicate that the project has been approved. Applicants will be formally advised of the scientific assessment of their proposal in April however advice on the final outcome of their application may not be until July of the year following submission, due to the complexities of operational planning for Antarctic operations.

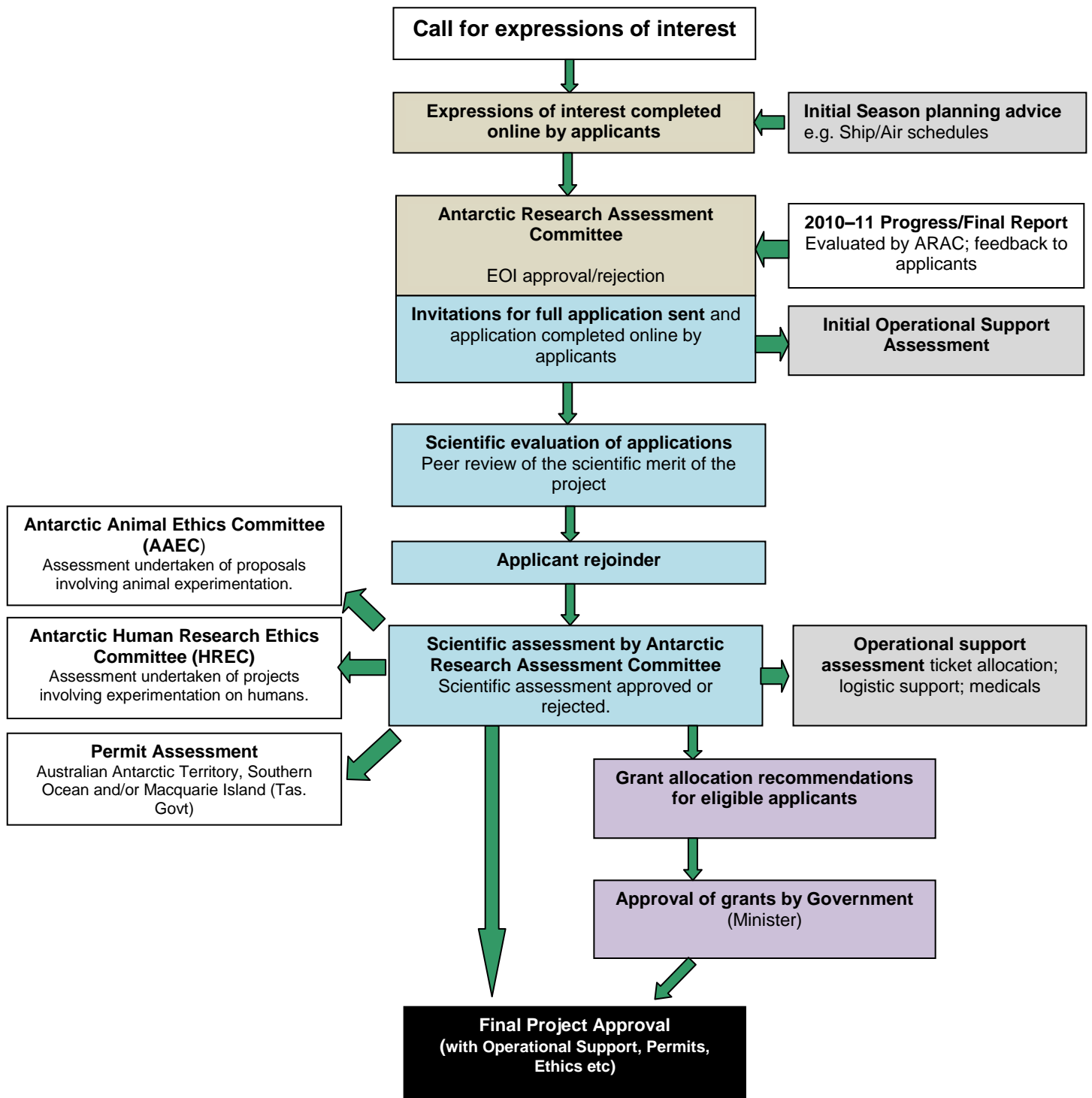
After the science assessment is completed, projects will be required to meet various requirements prior to a final approval being granted. These include environmental impact assessments, permits, occupational health and safety, animal usage, human ethics and radioisotopes together with logistic support. By providing multi-year approvals and grants (see [eligibility 3.5](#)) the AAD is aiming to provide greater certainty over the logistic support that will be possible in future years to researchers.

Competition between the scientific and operational programs for ship berths, flights and station accommodation can be very intense during the Antarctic summer season. The Antarctic Operations Committee (AOC) considers, coordinates and approves or rejects travel requests submitted in a season for the AAP.

Theme Leaders, with the assistance of [Stream Leaders](#), should be consulted in developing research projects to ensure the maximum coordination of research is possible in implementing the Science Strategic Implementation research plans. Roles, responsibilities and definitions are provided in [Appendix A](#).

Chief investigators should contact the relevant Theme Leader, prior to completing an EOI.

Figure 1: Australian Antarctic Science Program application process



Australian Antarctic Science (AAS) Grants support high-quality research projects which will make a significant contribution to Australia's Antarctic science program. **Expressions of Interest for the 2012-13 season close 31 August 2011.**

Private expeditions

Researchers proposing to undertake field research, in the Australian Antarctic Territory (AAT) or Australia's subantarctic islands, that is not to be supported by the AAP (i.e. does not require transport, accommodation, kitting, etc) or another Antarctic Treaty nation's support program, must still provide project information to satisfy the legislative requirements and assessment procedures necessary for the approval of that research (e.g. environmental assessment, animal ethics assessment and permits).

Private researchers should familiarise themselves with the relevant guidelines and complete the online Application Form.

Australian researchers supported by other treaty nations

Australian researchers undertaking projects which are supported by the operational programs of other Antarctic Treaty nations or who are undertaking private expedition research in non-AAT/Australian areas of the Antarctic or subantarctic should contact the Permits Officer at the AAD, email permits@aad.gov.au, in sufficient time to ensure they comply with any permit and legal requirements of the relevant nation(s).

1.2 CODE OF CONDUCT IN RESEARCH

The AAD is committed to high standards of professional conduct in all activities. This Code of Conduct in Research describes the standards of conduct and performance required of all those engaged in research in the AAD. Research workers have a duty to ensure that their work pursues the goals of the AAD and enhances the profession to which they belong.

This Code covers employees of the AAD, and includes employees from other institutions when they are engaged in research with the AAP. Where this Code varies from the Code of their home institution, our Code prevails with respect to research with the AAP.

This Code is based on the following principles. In the AAD, research describes any critical and creative activity undertaken on a systematic, disciplined basis and dedicated to increasing knowledge. The defining characteristics include:

- a dependence on formal, disciplined modes of inquiry
- technical, conceptual, or development of innovative scientific methods
- an open, rigorous approach to the testing of results
- a commitment to publication in some form.

Debate on, and criticism of, research work are essential parts of the research process. Research workers should:

- work only on approved Australian Antarctic research projects
- demonstrate integrity and professionalism
- observe fairness and equity
- participate only in work which conforms to accepted ethical standards
- participate only in work which they are competent to perform
- avoid real or apparent conflicts of interest
- ensure the safety of those associated with the research.

Reasonable requirements for confidentiality of data must be observed, consistent with the requirements of the Antarctic Treaty. Research workers must not use such information for their own personal advantage or that of a third party. Research involving animal or human subjects must be approved for ethical clearance by the appropriate ethics committees as established by the Minister. Special conditions attached by the committees must be scrupulously adhered to. All researchers must recognise that the onus is on them not only to adhere to such conditions and

processes, but also to provide the various assessment bodies with timely and appropriate information to enable them to make a full assessment of proposed and progressing work.

Theme Leaders are responsible for the conduct of research within their programs, the observance of this Code, and ensuring all workers are familiar with the Code. All research workers are individually responsible for ensuring their work conforms to this Code.

Chief investigators must obtain permits from the relevant authorities and meet all legislative requirements, including Environmental Impact Assessments, and ethics approvals prior to a final approval being granted by AAD for the project to go ahead. Research involving plants and/or animals or entry into designated protected areas will also require quarantine permits. Further details are at [Appendix B](#).

Where a person is in doubt about the applicability of provisions of this Code or about the appropriate course of action to be adopted in relation to it, advice should be sought from the Chief Scientist. If requested, the advice will be provided in confidence.

Data and sample storage and retention

A condition of participation in the AAP is that all data collected under the AAP, products derived from those data, and samples remain the property of the Commonwealth of Australia. This excludes samples collected from Macquarie Island which are the property of the Tasmanian Government. It is the role of AAP Chief Investigators to ensure that all data and samples generated as part of their research are adequately managed for long-term re-use. This generally involves ensuring from the outset that all data/samples are adequately documented with metadata and that arrangements are made for data to be deposited with the Australian Antarctic Data Centre (AADC). Alternative long-term repositories will be considered to host data but this will require a due diligence check of the nominated repository by the AADC.

The submission of a data management plan is a mandatory first milestone for all AAP projects.

Appropriate metadata must be created in the AADC's metadata system (CAASM) to describe any captured data and all data must be submitted to the AADC, or an approved long-term repository, by a project's end date. Progress towards completion of metadata and submission of all datasets will be monitored by the ARAC. Completion of metadata involves ensuring that the record accurately describes the final state of the data, as it is progressively worked up through the project. Note that all metadata records are made public after initial moderation and should be available from an early point in the project's execution. Samples must be catalogued and submitted to recognised collection hosting facilities.

Unless there are extenuating circumstances, data submitted to the AADC will be made public, usually after a suitable embargo period. Extenuating circumstances preventing timely publication of data must be presented to the AADC Manager.

The Australian Antarctic Program Data Policy is on the AAD web site at http://data.aad.gov.au/aadc/about/data_policy.cfm.

Authorship and publication

Authorship is a sensitive matter in which quite different views of relative contributions can be held sincerely by contributors, leading at times to disagreements on who should be the authors and the order in which they are listed. The question of authorship should be discussed at the earliest possible stage in a research project and reviewed whenever there are changes in participation.

All persons, including university students and technical and professional support personnel who have made a substantial contribution to the research leading to a publication must be given the opportunity to be included as an author on the publication. Contributions to the conception, execution or interpretation of the work being reported may warrant recognition as an author.

All authors bear responsibility for the publication.

A person who has not participated in conceiving, executing or interpreting at least part of the relevant research is not to be included as an author of a publication deriving from that research.

Every attempt must be made to reach agreement on the authorship of a publication and the order in which authors are listed. Informal advice and assistance should be sought from the relevant Theme Leader. If the matter cannot be satisfactorily resolved, formal adjudication of the issue will be made by the Chief Scientist.

The authors must ensure that others who have contributed to the work are recognised in the publication. Courtesy demands that individuals and organisations providing facilities should also be acknowledged.

A publication which is substantially the same as an earlier publication derived from the same research, must make appropriate reference to the earlier publication.

An author who submits substantially similar work to more than one publisher should disclose that fact to the publishers at the time of submission.

Where a publication has several authors, one author should be nominated executive author to accept overall responsibility for the entire publication.

All care should be taken to ensure that publication reference, or acknowledge all pertinent supporting research and data.

While the program continues to encourage publication for both maximum scientific exposure and in non-Antarctic high quality journals it also now places a great importance on publications that are designed for policy makers, end users, the public and other stakeholders.

All publications and presentations made relating to projects within the AAP must acknowledge the support they have received from the AAP.

Supervision of research higher degree candidates

All research higher degree candidates must have supervision during their participation within the AAP. In particular, when students are to be members of field teams there is a requirement that a supervisor be identified within the field team.

Where AAD staff are invited to act as joint supervisors of university students they must inform themselves of the provisions of the relevant Codes of that university, such as the Code of Conduct of Research and Code of Conduct in Supervision of Higher Degree Students. Where these differ substantially from the provisions of this Code of Conduct in Research, the matter must be raised with the Chief Scientist.

Formal appointment as joint supervisor will not be made until the Chief Scientist is satisfied that the inconsistency in the Provisions will not disadvantage the Commonwealth of Australia.

A person must decline appointment as a supervisor unless he/she expects to be able to discharge, and abide by, the responsibilities set out in the university's relevant Codes as well as this Code.

Misconduct

Misconduct means fabrication, falsification, plagiarism, or other practices that seriously deviate from those commonly accepted within the scientific community for proposing, conducting, or reporting research.

Confidential advice on integrity in research and possible misconduct is available from the Chief Scientist.

Any complaint of misconduct in research is to be made to the Chief Scientist.

Where the complaint is made against a member of AAD staff, the Chief Scientist will gather all available information relevant to the complaint and report to the Director, AAD.

Where the complaint is made against a student enrolled at a university, the matter will be pursued in accordance with that university's appropriate instrument governing student discipline.

(Note: This Code of Conduct is based on a similar Code published by the University of Tasmania, and used with permission.)

1.3 PRIVACY

The AAD and the officers who operate and access the EOI and Antarctic Applications Online (AAO) systems are subject to the Commonwealth *Privacy Act 1988*. This Act lays down strict privacy safeguards which Commonwealth Government departments and agencies must observe in handling personal information. This privacy statement outlines how personal information collected and retained by the AAO system is handled by the AAD. This information is specific to this database. For further information, see the AAD website privacy statement at <http://www.antarctica.gov.au/about-us/australian-antarctic-division-website-privacy-statement>.

Collection of personal information

The AAO system provides an integrated application form for legislative and non-legislative authorisations, including operational and logistical support, for activities in the Antarctic, the subantarctic and the Southern Ocean.

The AAO system collects and stores personal information from applicants for use in the administration of the AAP, for use and or disclosure as necessary, including:

- to determine the need and eligibility for legislative and administrative approvals, including operational and logistical support
- to provide for online submission of applications for relevant approvals or support
- to contractors and others to complete assigned work
- to allow administrators to contact applicants in relation to their applications or family members or friends in circumstances of emergency.

The AAO system provides an interface for various approvals and support processes administered by the AAD, other agencies and external institutions and assessors with responsibilities relevant to the AAP – these include but are not limited to:

- Australian Antarctic science approvals process
- human and animal ethics approvals
- radioisotopes approval process
- coordination and allocation of support infrastructure for AAD supported activities, including vehicles, field equipment, boats, field huts, station accommodation, berths on ships and air transport
- science technical support for AAD supported activities
- occupational health and safety
- various permits and authorisations required by legislation.

In addition to information collected for general administration of applications, various Commonwealth legislation authorises the collection of personal information as part of the application process for permits and other authorisations, including:

- *Antarctic Treaty (Environment Protection) Act 1980*
- *Antarctic Marine Living Resources Conservation Act 1981*
- *Environment Protection and Management Ordinance 1987 (Territory of Heard Island and McDonald Islands)*
- *Environment Protection and Biodiversity Conservation Act 1999*
- *Weapons Ordinance 2001 (Australian Antarctic Territory)*
- *Weapons Ordinance 2001 (Territory of Heard Island and McDonald Islands)*
- *Quarantine Act 1908*
- *Customs Act 1901*
- *Occupational Health and Safety Act 1991*
- *Public Service Act 1999.*

Obtaining access to your information

If you wish to check your personal information contained in the AAO system, you can view it online. Please ensure that your personal information held in the AAO system is accurate, up-to-date, and complete. If you are unable to alter any of this information please contact the Science Planning and Coordination Section at the address below, or by email to planning@aad.gov.au, to request that it is corrected or updated.

1.4 APPEALS

Appeals will be considered **only** against process issues relating to the science application. They will not be considered against committee decisions or assessor ratings and comments. Appeals must be lodged through your administering organisation's research office and be received within 28 days of the date on the letter notifying the outcomes of applications. The appeal should state the grounds for the appeal and be signed by the appellant and the Deputy Vice-Chancellor (Research) or delegate.

The signed appeal should be sent to:

Manager, Science Planning and Coordination
Australian Antarctic Division
203 Channel Highway
Kingston TAS 7050

SECTION 2 GENERAL CONDITIONS AND REGULATIONS

2.1 ROLE OF THE CHIEF INVESTIGATOR

The chief investigator (CI) must take primary personal responsibility for designing, writing and conducting and completing their projects. CIs are expected to take responsibility for the day-to-day running of their project, provide the required reports, data, samples, and publications to the AAD. Chief investigators are responsible for supervising their field personnel and for informing them of their obligations while in participating in the Australian Antarctic Program (AAP).

The CI must not simply be providing resources for work which will be undertaken by other personnel. The CI should personally complete the EOI and full application forms.

Chief investigators are expected to possess relevant research experience of a high order. Early career scientists are particularly encouraged to apply. Ensure that you identify that you wish to be considered as an early career scientist. An early career scientist is one who completed their Ph.D. less than five years ago (or equivalent). If your Ph.D. was awarded more than five years ago, but your research career has been interrupted by non-research employment, misadventure, illness, or family and carer responsibilities, you should email planning@aad.gov.au for a determination of "equivalent" status.

A student cannot be the CI of a project. The CI is the contact person for all administrative matters and is responsible for ensuring that the cost of medical examinations is reimbursed to the Australian Antarctic Division (AAD) (the standard medical examination costs approximately \$850 per person and can be sought as part of an AAS Grant).

2.2 PROJECT PERSONNEL

Applicants must provide details of all personnel contributing to a project, and CIs must ensure that nominated field personnel are appropriately qualified. Please note that *curriculum vitae* will be requested for all personnel who are named on the project (at full application stage) and all personnel participating in Antarctic field work (i.e. this will be required when requesting a berth or flight).

Volunteers and undergraduate students, including honours students, will not be accepted for participation in Antarctic field programs unless they are accompanied by a suitably qualified supervisor. Details of supervisory arrangements should be clearly stated in the full application. See [Appendix D](#) for more details regarding volunteers.

Applicants must justify the number of field personnel requested and the duration of their field work in Antarctica, with a detailed work plan for each field person.

2.3 INTERNATIONAL APPLICANTS

The AAD will consider providing logistic support to scientists of other nations particularly encouraging high quality collaborative proposals involving Australian researchers. Overseas applicants will be assessed in the same manner as those submitted by Australian researchers, and should be prepared and submitted in accordance with these guidelines.

Overseas research institutions and researchers are not eligible to receive Australian Antarctic Science grant funding.

International applicants are expected to cover their own costs, including travel to Australia, accommodation prior to departure and the cost of medical examinations. They should also ensure that they have adequate health insurance cover while in Australia, and comply with Australian visa requirements.

Information on visa requirements

Non-residents of Australia travelling to Antarctica/the subantarctic require a visa that allows for multiple entries to Australia. The initial entry, for immigration purposes, usually occurs when travelling to Australia to join the AAP; and an additional entry occurs on return to Australia from Antarctica/the subantarctic.

The Department of Immigration and Citizenship is responsible for processing visa applications and will determine the outcome on a case by case basis, notifying each applicant of the outcome. It is advisable that the visa period requested should allow for a delay of a minimum of a month in the potential return to Australia from Antarctica/the subantarctic, due to shipping delays that may occur owing to heavy ice conditions or other unforeseen difficulties.

Overseas-based, non Australian citizens require a letter of invitation in relation to their proposed visit. For field personnel, this letter can be obtained from their Australian CI. If the project retains a foreign CI the letter can be obtained from the Science Planning and Coordination Section, planning@aad.gov.au. The letter of invitation should outline the applicant's intended activity, and also specify that no salary, scholarship or allowance will be paid to them by the sponsoring institution.

Australian residents who are not Australian citizens will require a valid passport and visa to enter Australia on their return from Antarctica/the subantarctic.

For further information, visit the Department of Immigration and Citizenship website at <http://www.immi.gov.au/> or contact the department on the national phone inquiry line on 131 881. If overseas, information can be obtained from your nearest Australian diplomatic office at <http://www.immi.gov.au/contacts/overseas/index.htm>.

2.4 CONDITIONS FOR PARTICIPATION IN AUSTRALIA'S ANTARCTIC PROGRAM

All participants in Australia's Antarctic program must undergo a number of pre-departure checks including medical and adaptability checks (tests are dependent on the total time away that is planned). Participants are also required to agree to abide by certain conditions before being accepted. These conditions may vary depending on the length of time to be spent in Antarctica, and any previous Antarctic experience. Detailed information on the program can be found at <http://www.antarctica.gov.au/living-and-working>.

Medical fitness

Expeditioners must be certified fit for Antarctic service by medical officers of the AAD's Polar Medicine Unit after an examination by a Health Services Australia medical advisor or other approved medical officer.

The standard medical examination costs approximately \$850 and **the CI will be responsible for the payment of these costs** for all field personnel participating in the proposed project. Please note that in some cases, further investigations are required to determine medical fitness which may necessitate referral to specialists. These additional costs will also be the responsibility of the CI.

Expeditioners will be contacted and asked to complete a medical checklist prior to a medical examination. An example of the checklist is at http://www.antarctica.gov.au/data/assets/pdf_file/0009/21042/AAD-Medical-Checklist-Oct-2010.pdf

Adaptability testing

Personnel spending more than 12 weeks away from Australia must undertake an adaptability assessment conducted by the Australian Army Psychology Corps (or equivalent) on behalf of the AAD. Summer field personnel who have obtained a suitable adaptability rating or satisfactory prior service reports in the last three years will be exempted. Foreign scientists and special visitors

approved by the Director of the AAD may also be exempted. Adaptability tests are only conducted in state capital cities and in Canberra, Darwin and Townsville. You may need to make some allowance in your budget for travel to attend these tests.

Personnel not required to undertake adaptability testing will still require some form of assessment attesting to their suitability to participate. This will take the form of a character reference against predetermined criteria and should be provided by either the Head of the sponsoring organisation or the chief investigator.

Code of behaviour

All expeditioners must agree to abide by the [Antarctic Service Code of Personal Behaviour](#), [Australian Public Service \(APS\) Values](#), and [APS Code of Conduct](#). Expeditioners are required to sign the document *Acceptance of Conditions for Participation in Australia's Antarctic Program*, which encompasses these behaviours and code. Any person who chooses not to abide by these conditions will not be permitted to participate.

Rostered duties

All expeditioners, including researchers on Australian Antarctic stations are usually required to perform other duties as rostered by the station leader in addition to the duties of their own position. For example summering scientists are usually asked to assist with general kitchen duties.

Insurance

Non Commonwealth Government employed expeditioners are required to sign a *Release and Indemnity* form absolving the Commonwealth of responsibility for any loss or injury suffered during participation, on the expectation that expeditioners employed by other organisations, including universities, are covered for loss of income, injury or death under their employer's workers compensation, and travel insurance.

For non employed expeditioners (volunteers), the AAD's Comcover policy currently provides cover for personal injury or death, plus medical expenses, when travelling to/from or working at AAD stations as part of Australia's Antarctic program.

Further information regarding insurance, including personal effects, is available at <http://www.antarctica.gov.au/living-and-working/predeparture/personal-business-matters/private-insurance>.

Training

All expeditioners are required to participate in pre-departure briefings and/or training programs prior to departure. Where required, relevant field training is also conducted in Antarctica. All information regarding the training program and requirements is available at <http://www.antarctica.gov.au/living-and-working/training>.

Expeditioners may be exempted from the field component of this training by the Support and Coordination Manager, support&coordination@aad.gov.au, if they have recently participated in field training. You may need to make some allowance in your budget for travel to attend the training.

2.5 LOGISTIC SUPPORT

The AAD provides a base level of operational support to all approved projects.

If your project is approved, you will be contacted by operational staff and the support required will be discussed with you in detail. A service level agreement detailing the operational support that the AAD expects to provide will be given to you prior to the field season commencing.

Chief investigators should also note that where satellite communications are provided for field locations, the costs of all calls are attributable to the project (<http://www.antarctica.gov.au/living-and-working/field-operations/communications-in-the-field>).

Should your support requirements change after your project is approved, the AAD cannot guarantee to provide alternative or additional support.

2.6 COMPLIANCE WITH REGULATIONS AND LEGISLATION

Safety and compliance with Occupational Health and Safety requirements is fundamental to participation in the Australian Antarctic Program.

Some research projects will require additional authorisations and permits. Questions relating to these are not part of the Expression of Interest form, but will be asked in the full application form. Some additional information is also provided in [Appendix B](#).

Environment protection

All activities (including research projects) proposed to be conducted by Australians in Antarctica or any member of Australia's Antarctic program must comply with all relevant national and state legislative requirements. Applicants will need to satisfy all legal requirements before departing for Antarctica or the subantarctic. For further details, refer to <http://www.antarctica.gov.au/environment/environmental-impact-assessment-approvals-and-permits>.

Animal research

Projects involving animals must be reviewed by the Antarctic Animal Ethics Committee (AAEC), whether or not a project has already been approved by other similar committees. The Committee's approval is required before any animal research commences.

Please note, projects proposing to conduct animal research on Macquarie Island will only require approval by the CI's institution's animal ethics committee as well as the Tasmanian Department of Primary Industries, Parks, Water and Environment animal ethics committee. The AAEC does not consider animal research for Macquarie Island, unless the CI is an AAD employee.

Applicants should consult the Animal Research Guidelines available at <http://www.antarctica.gov.au/science/information-for-scientists/research-guidelines/animal-research-guidelines>.

If any aspect of animal research changes after the application is lodged, an updated summary of the amendments must be emailed to the AAEC Secretary at aaec@aad.gov.au for approval by the AAEC.

Human research

Researchers wishing to undertake research involving humans as part of Australia's Antarctic Science Program are required to submit a National Ethics Application Form (NEAF) to the Australian Antarctic Program Human Research Ethics Committee and obtain approval to ensure that all statutory requirements are met. The NEAF form is available at <https://www.neaf.gov.au/Default.aspx>.

Use of radioisotopes

Projects involving the use of radioisotopes must provide the information requested in the full application form. Refer to the guidelines provided in the Ionising Radiation Guidelines at <http://www.antarctica.gov.au/science/information-for-scientists/research-guidelines/ionising-radiation-guidelines>. The AAD will not accept responsibility for storage or disposal of radioactive wastes other than those used in AAD projects.

Use of ionising radiation must be in accordance with AAD policy available from the Radiation Safety Officer, LABMGR@aad.gov.au .

2.7 REPORTING REQUIREMENTS

Milestone reports

Successful applicants are required to provide milestone reports on progress. Elements of the milestone report will be made available on the web, and the date required for completion of the report will be advised via email.

Milestone reports will be considered by the relevant Theme Leader and Antarctic Research Assessment Committee (ARAC). Milestone reports will also assist the ARAC in determining whether research projects should continue to be supported and the extent to which the science strategic plan is being met.

The ARAC will consider progress made in field and laboratory activity, the extent of analysis carried out, the summary of findings to date, and any publications resulting from the research. A satisfactory assessment by the ARAC is required for continuation of the research and the next instalment of AAS grant funding (if applicable).

Final report

A final report is required within six months of the final year of the approval period. A final report form will be available online, and CIs will be contacted when to complete the form. The final report will be considered by the relevant Theme Leader and ARAC to assess the success of the project in achieving the objectives, outputs and outcomes identified in the approved application. A satisfactory assessment of the final report is required to ensure any future request for logistic or grant support in the Australian Antarctic Science Program will be considered.

Environmental report

This report is required for projects which were the subject of a permit. A report may be required for projects whose Environmental Impact Assessment required monitoring, mitigation or follow-up action.

General

Information contained in a report may be used for any purpose by the AAD. Only the sections clearly defined as "public" will be released publicly.

All publications and reports connected with your research should acknowledge the logistics or Australian Antarctic Science grant funding support that has been received, and include the project number.

Each year an evaluation report will be prepared by the Antarctic Science Advisory Committee on the Australian Antarctic Science Program (including the grants) and this will be submitted to the Minister and made public on the website.

2.8 OWNERSHIP AND MANAGEMENT OF DATA/SAMPLES

Each proposal that is accepted for inclusion in Australia's Antarctic program is required to make its data available to the international Antarctic research community. Article III.1.c of the Antarctic Treaty states "scientific observations and results from Antarctica shall be exchanged and made freely available." Australia has endorsed this clause and established the Australian Antarctic Data Centre (AADC) (<http://data.aad.gov.au/>) to assist in fulfilling our obligations under this Treaty. The Australian Antarctic Science Data Policy is at http://data.aad.gov.au/aadc/about/data_policy.cfm

The role of the Data Centre includes:

- Management and dissemination of data resulting from Australian Antarctic Science projects

- Providing facilities and infrastructure for the long-term management of data
- Developing systems to enable the secure sharing of data between collaborators
- Publication of data to public global data access networks
- Providing advice on data collection procedures
- Assisting with the development and costing of data management plans
- Representing Australia in expert forums associated with data management
- Providing mapping, global positioning, surveying and GIS resources to expeditioners.

Chief investigator data management responsibilities

The CI will ensure that they:

- Comply with all aspects of the AAP Data Policy
- Contact the Data Centre to discuss data issues preferably before submission of a Data Management Plan
- Submit data (raw, processed and ancillary), derived products and associated metadata in an acceptable form to the Data Centre within the timelines set for data submission which is normally before the project's end date (see the Data Policy for exceptions to project duration embargo periods)
- Make provision for the management of any physical samples in an appropriately catalogued collection
- Provide updated information on progress against tasks in the Data Management Plan in milestone reports (note this might be undertaken in collaboration with the AADC if the AADC is providing services to the project)
- Adopt the norm of citing data used in your research by linking to metadata (or dedicated data papers) in peer reviewed publications.

Initial contact with the Australian Antarctic Data Centre

Chief investigators should contact the AADC, by email aadc@aad.gov.au, preferably before submission of a full research application. The AADC may be able to provide supporting information about data collection, storage or data analyses and point to relevant information that has already been collected which may support the project. The AADC may also be able to indicate a level of support that must be specifically included in the proposal to ensure the smooth submission and management of datasets. In addition, the AADC may be able to provide support services to assist the sharing of data between collaborators during the project's execution and/or assist with certain types of data analyses.

On or before completion of the project

At the completion of the project, data set(s) and accompanying documentation must be offered to the AADC. In some situations the AADC may delegate responsibility for data management to another custodial group but this must be by prior arrangement between the Chief Investigator and the AADC Manager. In these cases the preparation of a data management plan is required to ensure that the AADC Manager is satisfied that the data will be placed with an adequate long-term repository capable of providing suitable ongoing access to the data.

Metadata records

Each data set must be accompanied with concise documentation so that specialists and non-specialists alike will be able to understand how the data can be used. The most important component of this documentation is *metadata*. Visit the AADC Metadata pages at <http://data.aad.gov.au/aadc/metadata/index.cfm> for documentation about metadata and the web-entry form.

Acknowledgement

In view of the Antarctic Treaty obligation to share scientific data, and as part of the conditions of participation in Australia's Antarctic program, each expeditioner is required to acknowledge that data and samples collected from the Antarctic continent remain the property of the Commonwealth of Australia. Similarly, samples and data collected on Macquarie Island remain the

property of the Tasmanian Government, which requires verification of the curatorial transfer of such items into approved collections.

Lodgement of Data

All data and associated metadata must be forwarded to the AADC, or suitable alternate repository, within two years of data collection. Progress towards submission and completion of metadata will be monitored annually throughout the duration of the project through the project progress reporting process and via contact initiated by the AADC. In cases where the AADC has agreed to an alternate repository as the data host, contact will be made with this host to ensure that the data management plan submitted with the project proposal is being followed. The status of all submissions will be communicated annually to ARAC.

Data publication

Unless there are extenuating circumstances, data submitted to the AADC will be made publicly available, after obtaining explicit consent from the chief investigator to publish these data. Data may be offered to global data access networks. If there are extenuating circumstances which argue for a delay in publication or a restriction in the data's distribution, these circumstances must be presented to the AADC Manager. The AADC Manager will then provide advice to the AAD Chief Scientist who will determine the merits or otherwise of the request.

SECTION 3 AUSTRALIAN ANTARCTIC SCIENCE GRANT PROGRAM

Australian Antarctic Science Grant Program outcome:

To provide fair and equitable access for non-government research scientists (primarily Australian University researchers) to government funding for high quality research that efficiently, effectively, economically and ethically contributes to achieving the goals set out in the *Australian Antarctic science strategic plan 2011–12 to 2020–21*.

The contact officer for all grant enquiries is:

Australian Antarctic Science Grants Officer
 Science Planning and Coordination
 Australian Antarctic Division
 203 Channel Highway
 Kingston TAS 7050
 Tel: 03 6232 3551
 Email: grants@aad.gov.au

3.1 INTRODUCTION

The Australian Antarctic Division has had a formal grant program to support scientific Antarctic research since 1986. Following the release of the [Australian Antarctic science strategic plan 2011–12 to 2020–21](#) in July 2010, and taking account of changes in government policy and practice in grant management, the program has been revised for funding commencing in 2012–13. The grant program is a component of the overall Australian Antarctic Science Program (AASP). All applications, regardless of whether or not they are requesting (or are eligible for) a grant, are assessed through the same application system.

The application round will be open for 2012–13, 2013–14 and then every second year.

Australian Antarctic Science (AAS) grants support high-quality research projects which will make a significant contribution to Australia's Antarctic research program. To be eligible for an AAS grant, projects must contribute to the goals of the Science Strategic Plan 2011–12 to 2020–21 and meet the eligibility criteria outlined in [section 3.5](#). Proposals can be for research to be carried out in Antarctica (including the subantarctic), Southern Ocean or Australia, and should be compatible with the program planned for the season.

An AAS grant is for a project's special requirements and is in addition to the basic facilities provided by the researcher's own organisation. This may include financial support for staff, equipment, running expenses, consumables and travel. Grants will only be awarded for a maximum of five years, and will not be provided for payment of university administration fees/overheads.

Two types of grants are included in the scheme:

- 1) Research project grant; or a
- 2) Co-funded post-doctoral fellowship grant*.

*A research project grant cannot be sought in addition to a co-funded post-doctoral fellow grant under the same project.

3.2 FUNDING

The grant program will have a total value of \$1,050,000 for the 2012–13 year. The maximum level of funding for an individual grant is \$150,000 over the life of the project up to a maximum of five years.

3.3 ROLES AND RESPONSIBILITIES

There are a number of key roles within the grants program. These roles and the associated responsibilities are identified below.

- The **Minister** for Sustainability, Environment, Water, Population and Communities, is the grant funding approver (Approver). The Minister is independent of the grant allocation process and has financial responsibilities (outlined in the Commonwealth grant guidelines) as well as overall responsibility for approving or declining grant recommendations from the AAD. Allocations of grants are considered in relation to section 44 of the *Financial Management and Accountability Act 1997* definition of 'proper use' of public money: to ensure "efficient, effective, economical and ethical use that is not inconsistent with the policies of the Commonwealth".
- The **Manager** Science Planning and Coordination is the grant program manager. This position has day-to-day responsibility for the AAS grant program, including signing funding agreements on behalf of the Minister, approving payments, and approving requests for changes in the way grant funding is spent.
- The **Antarctic Research Assessment Committee (ARAC)** comprises a mix of scientists and policy makers, most of whom are external to the AAD, who examine all project applications (including grant requests) submitted to the AASP, as well as reviews, rejoinders, Theme and Stream Leader and other AAD advice related to each application. The ARAC will then allocate a score to the project and confirm the amount of grant funding recommended to the Approver.
- The **Chief Scientist** oversees the AASP and the final decisions relating to the support of projects. The Chief Scientist is a member of the ARAC.
- The **AAS Grants Officer** is the grant program administrator. This position is responsible for all administrative aspect of the AAS grants program and is the first point of contact for all grant program enquiries.

3.4 TIMELINE

The table at [section 5.4](#) outlines the timeline for the AASP project application and assessment process.

3.5 ELIGIBILITY

The following describes the eligibility requirements for researchers wanting to participate in the AAS grants program.

Chief investigators seeking a grant must:

- 1) meet at least one of the following criteria at the time of application, and for the full term of her/his participation in the project:
 - a. be an employee for at least half-time (50 per cent of Full Time Equivalent) at **one** Australian eligible organisation; or
 - b. be a holder of an Emeritus, Adjunct or equivalent appointment at an Australian eligible organisation and not be employed more than half-time (50 per cent of Full Time Equivalent) at another organisation that
 - i. is outside the higher education sector
 - ii. engages in research funded predominantly from state/territory or Commonwealth Government funding sources
 - c. applicants employed in Australian State museums and State-funded institutions must obtain prior approval from the Chief Scientist before seeking AAS grant support. (In doing so applicants will need to demonstrate the research planned could not be considered a core responsibility for their State institution to support).

- 2) the CI must not be enrolled as a post-graduate or undergraduate student
- 3) reside predominantly in Australia for the life of the project.

Australian researchers planning to work in Antarctica, but outside the Australian Antarctic Territory, may be eligible for an AAS grant, but only if the proponent works on the research at an Australian institution, the project is consistent with the [Australian Antarctic science strategic plan 2011-12 to 2020-21](#), and participation in a foreign program is fully justified.

Organisations considered eligible to receive AAS grants are listed in [Appendix C](#). The organisation must hold an Australian Business Number (ABN) and/or has status as a Deductible Gift Recipient (DGR) to apply for AAS grant funding.

3.6 PROBITY

The Australian Government is committed to ensuring that the process for providing funding under the AAS grants program is transparent and in accordance with probity guidelines.

<http://www.antarctica.gov.au/science/information-for-scientists>

Conflict of interest

The grant program manager, grant program administrator, members of ARAC and AAD staff involved in the assessment process are required to divulge any conflict of interest in relation to:

- any financial interest in the grant applicants or applications
- any relatives or friends with a financial interest in the grant applicants or applications
- any personal bias or inclination which would affect a decision in relation to grant applicants or applications
- any personal obligation, allegiance or loyalty which would in any way affect a decision in relation to the grant program.

If any conflict of interest applies, the individual concerned will not assess the relevant application.

3.7 ORGANISATIONAL SUPPORT

The CI's institution is expected to administer the grant and to provide basic support, such as suitably equipped accommodation and office services, workshop support, and adequate computer time.

Each application must be endorsed by the designated head of the institution, certifying that basic facilities are available and that the audit requirements of the grant funding agreement can be fulfilled.

The applicant's institution must have, and be prepared to provide for the applicant, the infrastructure (including administrative support) to support that component of the research to be undertaken in Australia. The CI's institution must hold an Australian Business Number (ABN).

The AAD provides the logistic support facilities normally required to undertake field work in Antarctica. This assistance usually takes the form of transport between Hobart and Antarctica/the subantarctic, accommodation and meals in Antarctica/the subantarctic, kitting and medical services, while participating in an expedition.

Chief investigators are responsible for costs associated with medical and adaptability testing and with travel to and from Hobart for all their personnel. AAS grant funding can be sought to cover these costs.

3.8 COMPLETION OF BUDGET REQUEST

In the Expression of Interest applicants are asked to give an indication of the expected funding request at the full application stage.

If invited to complete a full application applicants will be asked for more detail relating to the grant request including the cost and justification.

AAS research project grants are provided for up to five years. Applicants requesting more than one year **must** provide a budget and justification for all years. A projection of the project's total requirements will enable the assessment committee to evaluate the total requirements of a project. The ARAC will also consider the likelihood that the continuing project will achieve its objectives over the period.

The total research project grant funding available over the life of the project is a maximum of \$150,000. However, a CI may choose to apply for a one, two, three or four year research grant project and may still receive a grant up to the value of \$150,000.

An AAS co-funded post-doctoral fellowship may receive up to \$50,000 per year for a maximum of three years.

In addition to identifying grant funding requirements, applicants are asked to identify other actual or expected sources and amounts of financial support, so that assessors can determine the overall viability of the project.

To assist with the appraisal of a grant application, further information may be requested by the AAD. Applicants will be notified by email where this is required.

3.9 PAYMENT OF GRANT FUNDS

AAS grants are subject to the Goods and Services Tax (GST). Only those applicants who can show that they have an affiliation with an organisation which holds an ABN and/or has status as a Deductible Gift Recipient (DGR) may apply for AAS grant funding. Applicants should seek independent tax advice regarding the GST and how it may affect their research project.

AAS grants are provided as milestone payments, so that the CI can determine how the grant is divided between the items detailed in the application. In some instances, the ARAC may require that funds are, or are not, spent on specified items.

Grants correspondence should be between the responsible officer of your institution or organisation and the AAS Grants Officer, grants@aad.gov.au.

3.10 ELIGIBLE ITEMS

Applicants may apply for a

- Research project grant or a
- Co-funded post-doctoral fellowship grant*.

* A research project grant cannot be sought in addition to a co-funded post-doctoral fellow grant under the same project.

The eligible items for each category are different.

If you are unsure whether an item is eligible or not please contact the grants officer.

Eligible items for a research project grant

i) Travel and support costs

Costs associated with travelling with the Australian Antarctic Program.

Eligible expenses include airfares (flexible economy only), accommodation, other expenses such as hire cars and per diems, medicals, insurance, training requirements required by the AAD (but not provided by the AAD), freight of equipment and samples, including internationally.

Domestic travel

AAS grant funds may be sought for fares associated with attendance at Antarctic medical and psychology tests, operational planning workshops, pre-departure training, when embarking for Antarctica or on return from Antarctica and other travel directly related to the planning for or conduct of research. Pre-departure training is usually scheduled to coincide with expected departure dates, but may occur well before.

Funding of fares will not be provided above economy flexible fares. Applicants should not attempt to reduce costs by purchasing inflexible advance purchase airfares as unexpected alterations to schedules or ticket allocations can result in additional expense, and no supplementary funding can be provided once a grant is approved.

As a general rule, funds will not be granted to support overseas travel, although funding may be considered for Australian researchers working in Antarctica, but outside the Australian Antarctic Territory. Funds will not be granted for overseas travel for researchers based overseas to travel to and from Australia.

Expenses associated with attendance at the Annual Antarctic and Southern Ocean Symposium and for outreach activities will be allowed.

Registration costs, airfares, accommodation and living expenses will be allowed for the Annual Antarctic and Southern Ocean Symposium.

Travel costs may also be requested for outreach activities that are approved in the project.

Accommodation expenses

Reasonable accommodation expenses in Hobart prior to pre-departure training, and prior to departure and on return from Antarctica, may be requested. Delays in flying to Antarctica are not uncommon, and passengers should budget for up to two nights of additional accommodation should the aircraft be delayed. The AAD has an arrangement in place for emergency accommodation in respect of departure delays for flights. Please consult with the AAD Personnel Services Team at personnel@aad.gov.au regarding nightly rates and bookings.

Freight of equipment and samples

Expenses associated with freighting equipment and samples between an applicant's home/institution and the AAD in Hobart are the responsibility of the chief investigator. An AAS grant may be requested to meet these expenses, as well as the cost of freighting equipment and samples to or from overseas.

Pre-departure medical and adaptability assessments

These expenses, including associated travel and accommodation expenses, may be sought through the project's grant application. The standard medical examination costs approximately \$850. Medical testing facilities are available in most major centres but some travel expenses may be incurred if personnel are in isolated areas. In some cases an adaptability test may be required prior to departure. Adaptability tests are only conducted in state capitals and in Canberra, Darwin and Townsville. (See 2.4 [Conditions for Participation in Australia's Antarctic Program](#)).

Insurance

Field personnel not covered by a compensation award must obtain personal insurance cover. AAS grant funds can be sought for this expense [see [Section 2.4](#)].

ii) Personnel

General

Applicants may request AAS grant funding to pay all or part of the salary of personnel involved in their research project, although funding will not be considered for personnel in receipt of a salary

from government departments or instrumentalities. Grant funds will not be provided to pay CI salaries.

Salary will only be funded pro rata, i.e. for that portion of time for which personnel are engaged in work for the particular project (e.g. a technical officer spends two days a week engaged in work relating to the project in question, so funds for 40% of annual salary can be sought).

Grants sought to fund a research/technical support position should show the official designation of the position and provide justification for the classification sought. Local practice is to be followed in respect of salary classifications and levels. Funds for part-time or short-term appointment may also be requested under this heading.

For each position requested the budget should show separately the actual salary of the position and the organisation's allowance for salary on-costs (worker's compensation insurance, payroll tax, leave loading, service allowances, etc.). Funds are not available for Antarctic, field or other per diem allowances.

Salaries should be adjusted for inflation. The scheme does not automatically fund salary increases through promotion. No supplementation can be provided once a grant is approved.

Top-up Ph.D. scholarship

A top-up Ph.D. scholarship may be requested for a student (whether the individual is already known or not) who holds/expects to hold an Australian Postgraduate Award (APA) or equivalent scholarship at the time of the grant funding commencing. Should the student not receive an APA or equivalent the top-up will not be paid. Evidence of the student holding an APA will be required to receive the funding for this item.

Top-up scholarships are valued at a maximum annual rate of \$7,000 for three years.

Research assistance

Personnel engaged in research/technical support roles are expected to provide more general services in furthering the project. Support positions can include data programming, data preparation, technical assistance and research assistance.

iii) Major equipment

Any individual item of equipment costing \$5,000 or more should be included under this heading. The costing should include all extra items required to operate the equipment. If such items are not included, their availability and source should be noted. Due to limited AAS grant funding availability, equipment costing in excess of \$30,000 will not be supported.

Researchers must justify the use of equipment and describe how it will be integrated with existing equipment. Justification should also describe other avenues explored for use of equipment (e.g. approaches to other institutions). Applicants should indicate the future use for the equipment when the project has finished. Equipment to automate data acquisition at Antarctic stations is encouraged.

iv) Consumables and other items

Any items not detailed above for which funding is sought can be listed under this section. This may include any item of equipment costing less than \$5,000, any chemical or other analyses, computer software or hire of external computer time and the purchase of printed or other material.

Services provided by other organisations may also be sought, for example laboratory and related expenses at an organisation other than the applicant's own. Applicants need to provide details of the costing of services provided by the organisation(s) and any necessary ancillary costs. Applicants should ascertain that the work and availability of facilities are acceptable to the organisation(s) concerned.

Funds are not provided for the hire of computer time on a computer within the applicant's own organisation. Requests for funds for programming, preparation and storage of data or the hire of external computer time must be fully justified.

Eligible items for a co-funded post-doctoral fellowship grant

Funding up to \$50,000 per year can be requested contingent on equal funding and support for the post-doctoral fellow being available from the organisation requesting the grant.

A post-doctoral fellowship can be funded for a maximum of three years.

Justification

Applicants must provide a detailed justification in the full application (to a maximum of 150 words) for each item requested. This will assist ARAC in determining the merit of each item, as well as the grant overall, and will inform its consideration of the grant amount recommended for approval. Insufficient detail in this section will detract from the strength of the grant application and may influence the success of the request.

Justification of all requested items must demonstrate the item's contribution to the scientific and/or operational scope of the project, and include a summary of why the item is essential for the successful completion of the project.

Applicants should indicate where funding of an item is contingent on resources from an entity other than the AAS grant, and explain the implications of not receiving AAS grant funding.

Applicants must also provide details of any funding requested from, or committed by, any other grant funding program in relation to their project for items other than those requested as part of the AAS grant program.

3.11 APPRAISAL

There is no separate appraisal process or set of criteria for AAS grant program applications. The application system for all projects in the AASP uses the same application forms and assessment criteria.

Each project goes through a rigorous assessment process for policy relevance, scientific merit and logistic availability through the AASP application process before being considered for eligibility into the AAS grant scheme.

Following submission of the full application, the grant program administrator will undertake an administrative check on the eligibility of the researcher and institution, as well as items requested.

The grant program administrator will liaise with the applicant as required to clarify any outstanding issues, and will present a report to the ARAC, which also considers the project in relation to overall grant funding.

ARAC will then assess the value and relevance of each grant to the project and AASP, and it will recommend an amount for submission by the AAD to the Approver.

3.12 DECISIONS

Funding approval

The AAD collates and recommends grant funding to the Approver (currently the Minister for Sustainability, Environment, Water, Population and Communities).

The Approver must consider whether the proposal will make efficient, effective, economical and ethical use of Commonwealth resources, as required under Commonwealth legislation, and whether any specific requirements will need to be imposed as a condition of funding. Funding approval is at the discretion of the Approver.

Advice to applicants

Applicants will be notified by letter of the outcome of their application. Letters to successful applicants will contain details of any specific conditions attached to the funding, as well as a proposed funding agreement.

Appeals

The appeals mechanism is outlined in [Section 1.4](#).

3.13 CONDITIONS OF FUNDING

Contracting arrangements

Successful applicants will be required to enter into a funding agreement with the Commonwealth (represented by the AAD).

Templates of the standard agreements are available on the AAD web site at <http://www.antarctica.gov.au/science/information-for-scientists>. The templates are based on the level of grant funding (\$50,000 or less and more than \$50,000).

Specific conditions

There may be specific conditions attached to the funding approval required as a result of the appraisal process or imposed by the Approver. These will be identified in the offer of funding or during funding agreement negotiations.

Payment arrangements

Payment for the first year will be made on signing of the funding agreement.

Payments for subsequent years will be made on achievement of milestones outlined in the funding agreement, and on satisfaction of the following conditions:

- Submission of a correct tax invoice for the amount of the payment
- Submission of satisfactory milestone reports (as determined by the ARAC)
- Submission of a satisfactory financial acquittal (as determined by the grant program administrator).

Applicants with one year grants need to satisfy only the first two points to receive funding.

Where payments are linked to the achievement of specific milestones, payments will only be made after the grant program manager is satisfied that those milestones and associated obligations of the funding agreement have been met.

Details of all grants approved are listed on the [AAD web site](#) once funding agreements are signed.

3.14 REPORTING REQUIREMENTS

All AASP projects are required to submit milestone reports, which are requested at a minimum in March/April each year (toward the end of the summer Antarctic season).

Grant recipients are required to complete and submit milestone reports to the satisfaction of ARAC to be eligible for further payments.

Recipients will be notified in writing of the result of this assessment and any requirement for further progress before any additional payments are made.

If progress has been delayed for logistics or other reasons outside of the control of the Chief Investigator, the grant program manager will make a determination on the level of funding made available through the life of the grant from that point.

3.15 EVALUATION

At the end of the grant funding, a final report (see also [section 2.7](#)) from recipients will be required that outlines how the grant funding has contributed to achieving the objectives, outputs and outcomes identified in the approved application. This final report will be considered by the ARAC to determine how the funding contributed to achieving the objectives, outputs and outcomes of the grant funding program. A satisfactory assessment of the final report is required to ensure any future request for logistic or grant support in the AASP will be considered.

An evaluation report will be prepared annually by the Antarctic Science Advisory Committee on the AASP (including the grants) and this will be submitted to the Minister and made public on the website.

3.16 ACKNOWLEDGEMENTS

Chief investigators should acknowledge AAS grants in all publications, relevant reports and presentations that have been part of the funded project.

SECTION 4 APPLICATION ONLINE SYSTEM

4.1 INTRODUCTION

Both Expressions of Interest (EOIs) and full applications need to be submitted electronically using the online Application system at <http://www.antarctica.gov.au/science/information-for-scientists>.

All applicants should discuss their proposed projects with the relevant Theme Leader before submitting an expression of interest.

4.2 CLOSING DATE FOR EXPRESSIONS OF INTEREST

All completed EOIs must be submitted by 31 August 2011.

The information you enter into the form can be modified until you submit the EOI. Only those expressions of interest submitted by the due date will be considered for assessment.

Certifications. Due to current legal uncertainty regarding the use of digital signatures, you will need to print a copy of the Certifications pages and ensure they are signed and delivered to the Science Planning and Coordination Section, Australian Antarctic Division, 203 Channel Highway, Kingston, Tasmania 7050 no later than **14 September 2011**.

Expressions of Interest and full applications without signed certifications will NOT be accepted.

4.3 EXPRESSION OF INTEREST AND FULL APPLICATION FORMS

The EOI and full application forms are available online. A guide to questions is also available at <http://www.antarctica.gov.au/science/information-for-scientists>.

[Microsoft word](#) versions of the forms are also provided at this web site to assist applicants see the questions offline.

The forms do provide online help however they do not cover every question or every aspect of a question. If you find that you do not have sufficient information to formulate an answer to a question please refer to the "Contact Information" supplied at the beginning of this document to contact the most relevant officer or the Science Planning and Coordination Section at planning@aad.gov.au.

SECTION 5 ASSESSMENT GUIDELINES

5.1 INTRODUCTION

The Antarctic Research Assessment Committee (ARAC) assesses all Expressions of Interest (EOIs) and full applications within the Antarctic Science program.

There are four categories of project defined in the Science Strategic Plan:

Tactical research = research that encompasses short term projects (generally one year or less) designed to answer specific questions from policy-makers, environmental managers and operational users of science data.

Strategic research = research that encompasses projects of medium-term duration (2-5 years) that provide findings and data of direct relevance to achieving the projected outcomes of the plan within the timeframe of the plan (i.e. there is a demonstrated link between the output of the project and the outcomes we are looking to achieve).

Fundamental research = encompasses longer term projects that reflect the high level goals of science priorities, but are not expected to provide outputs of direct relevance to projected outcomes of the plan within the life of the plan.

Monitoring/underpinning science = long term monitoring projects (up to 10 years)

Assessment of the projects will be conducted using criteria-based scoring with scientific excellence as a key determinant. The strategic importance of the project will also be a major criterion. The quality and track record of the research team to deliver on time and on budget together with the outreach and education plan for the project will also be assessed. Instead of a purely additive series of criteria there will be threshold scores within criteria so that if a project does not demonstrate some key criteria at a high enough level, the project will not be given approval to proceed.

Applicants will need to articulate clearly how the expected outputs (including outreach activities and publications) of their project will contribute to the strategic goals and desired outcomes set out in the plan. As evaluation of the likely contribution of the research to achieving these outcomes will be an integral part of the assessment process, it will be important to look at the broad context of the work, and to understand where the project fits within stream project portfolios and plans. Theme Leaders can provide assistance in bringing this context to science proposals.

For projects within the Frontier Science theme, the requirement for strategic relevance to theme and stream goals will not apply. However the project must address the [National Research Priorities](#).

All EOIs will be assessed by the ARAC. Theme Leaders will provide the ARAC with a report on how well the research proposed aligns to the Theme and Stream goals, the Data Centre will provide a report on compliance with the AADC data policy and Science Planning and Coordination section within the AAD will provide a report on compliance with grant and reporting requirements.

At the full application stage there will be at least two external reviews for all projects; however if a project is multidisciplinary up to four reviews may be sought. Science Planning and Coordination will identify suitable external reviewers in Australia and abroad, and assign applications for comment. The reviewers will consider the scientific merit of the application. Unattributed reviewer comments will be forwarded to CIs for a rejoinder prior to the project being considered by the ARAC.

Each application will be assessed by the ARAC, which is chaired by a nationally recognised expert external to the AAD. One member of the ARAC will act as sponsor for each proposal and will speak to the application in detail, interpreting the reviewer's comments and CI's rejoinder. The ARAC, guided by reviewers' scores and recommendations of the Program Leader and sponsor, will consider each project and list them in order of priority.

Prior to the assessment of a project, any potential conflicts of interest should be declared to the ARAC chair. A reviewer or sponsor who has a professional interest in the outcome of competing proposals should not be involved in their assessment. During an ARAC meeting, members who are co-investigators must leave the room during the assessment of that project by the committee. All decisions on whether a conflict of interest exists will be minuted at the meeting.

The ARAC will assess the progress of continuing projects. The ARAC retains the right to reassess the conditional approval given to a continuing project if the progress of that project is considered unsatisfactory, or if the objectives, investigators, and/or research design of the project are substantially altered during the period for which the project has received conditional support.

5.2 ASSESSMENT PROCESS

Stage 1: Expression of Interest Assessment

The EOI step is designed to evaluate whether a project is likely to be a good fit to the program goals and of sufficient merit to warrant development of a full application. Assessment of the EOI will be conducted by the ARAC, which will:

1. consider the project's fit to goals defined in the [Antarctic Science Strategic Plan](#) or [National Research Priorities](#)
2. make a preliminary assessment of the scientific approach planned and the likelihood of the project delivering the proposed outputs and outcomes.

Antarctic Research Assessment Committee

The ARAC is chaired by an independent external scientist and includes members representing policy, the Antarctic Science Advisory Committee and independent scientific experts. The Chief Scientist of the Australian Antarctic Program (AAP) is also a member of the committee.

The committee will be supported by Science Planning and Coordination and will receive reports on the following to assist in their consideration of projects.

- the alignment of each proposal to the strategic plan and implementation plans to assist in their assessment of proposals
- previous performance by the CI within the AAP – including publications, compliance with data policy, grant conditions and reporting requirements
- an initial assessment on the logistic feasibility of the field work proposed.

Criteria for EOI Assessment

A. Themes 1-3:

Threshold questions

1. Does the project adequately address at least one key research question within the Australian Antarctic Science Strategic Plan? Y/N
2. Is the need for this research identified in the implementation plan for this Theme/Stream? [Y/N] If not is it a better way to achieve one of the Theme or Stream goals? [Y/N]

If "yes" is given to the threshold questions, the following will be assessed:

3. Is it likely that the outputs/ outcomes of the project will be useful to the beneficiary/end user identified? [Y/N or ask to rethink and resubmit as part of full proposal or resubmit next year]
4. Is the Expression of Interest supported by, or aimed at, the appropriate end user? [Y/N]
5. Is the research proposed the appropriate way (fit-for-purpose) to achieve the desired outputs/outcomes? [Y/N or ask to rewrite]
6. Is the applicant, beneficiary or other entity making an appropriate financial contribution to the project? [Y/ N or ask to reconsider]
7. Is the project logistically feasible in the timeline proposed? [Y/N/ or Reconsider timeline or scope of project]
8. Is it likely the project will be successful in the timeframe requested? [Y/N/ or ask to rewrite]
9. Will the planned project outputs/outcomes provide a sound return on investment or value for money? [Y/N or ask to reconsider]

10. Is the team identified, including collaborations, appropriate to undertake the project? [Y/N or ask to reconsider]
11. Are the outreach and education activities planned appropriate? [Y/N/ ask to rewrite]

If the answer is NO to any of these questions the committee will decide whether a request to resubmit the EOI is to be recommended or whether the project is given the opportunity to submit a full proposal.

B. Frontier Science Theme 4

Threshold Question

Is it likely that the research proposed will make a significant scientific contribution to a National Research Priority? [Y/N]

If "yes" is given to the threshold question, the following will be assessed:

1. Is it likely that the outputs/ outcomes of the project will represent a significant advance in knowledge and understanding within its own field or across different fields of research? [Y/N]
2. Is the applicant and/or collaborator(s) providing an appropriate financial and/or in-kind contribution to the project? [Y/N]
3. Is the project likely to be logistically feasible in the timeline proposed? [Y/N]
4. Will the planned project outputs/outcomes provide a sound return on investment or value for money? [Y/N]
5. Is it likely the project will be successful in the timeframe requested? [Y/N]
6. Is the team identified, including collaborations, appropriate to undertake the project? [Y/N]
7. Are the outreach and education activities planned appropriate? [Y/N/ ask to rewrite]

Where the answer is No to any of these questions the committee will decide whether a request to resubmit the EOI is to be recommended in a future year, or whether the project is given the opportunity to submit a full proposal in the current year that includes the answer that was lacking at the EOI stage.

C. Monitoring and Underpinning Science

Threshold questions – a yes to at least one is required to proceed to be scored

- a) Is the need for the monitoring well justified and consistent with the goals of the Australian Antarctic Science Strategic Plan? [Y/N]
 - b) Is the data required for Australian Government responsibilities or an international agreement that requires access to an Antarctic /subantarctic or Southern Ocean monitoring location? [Y/N]
- or
- c) Is the need for this data included in the Implementation Plans for Theme 1, 2 or 3? [Y/N]
If not does it replace an existing monitoring program and is it a better way to do it? [Y/N]

If "yes" is given to the threshold question, the following will be assessed:

1. Is it likely that the project will provide accurate data useful for the proposed purpose of the monitoring? [Y/N or ask to rethink and resubmit as part of full proposal or resubmit next year]
2. Is the Expression of Interest supported by, or aimed at, the appropriate end user? [Y/N]
3. Is the applicant, beneficiary or other entity making an appropriate financial contribution to the project? [Y/ N or ask to reconsider]
4. Is the monitoring proposed the appropriate way (fit-for-purpose) to achieve the desired outputs/outcomes? [Y/N or ask to rewrite]
5. Will the planned project outputs/outcomes provide a sound return on investment or value for money? [Y/N or ask to reconsider]
6. Is the team identified, including collaborations, appropriate to undertake the project? [Y/N or ask to reconsider]
7. Is it likely the project will be successful in the timeframe requested? [Y/N/ or ask to rewrite]

8. Is the project logistically feasible in the timeline proposed? [Y/N/ or Reconsider timeline or scope of project]
9. Are the outreach and education activities planned appropriate? [Y/N/ ask to rewrite]

If the answer is NO to any of these questions the committee will decide whether a request to resubmit the EOI is to be recommended or whether the project is given the opportunity to submit a full proposal.

Only if the project passes the EOI stage will a full application be requested.

Stage 2: Full application assessment

The aim here is to assess quality of the research, ensure the research will deliver the outputs/outcomes planned and that the team is suitable with a demonstrated track record of publishing/producing outputs, and to determine whether the project is logistically feasible.

Reviewing

Full proposals will be sent to at least two reviewers for projects in Themes 1-3 and for projects proposing monitoring/underpinning science. Where warranted by the complexity of the project or the number of disciplines involved more reviews may be sought.

In the case of Frontier Science projects we will routinely seek at least three independent reviews.

NB Where relevant expertise is not available on the ARAC to evaluate reviewer comments on the quality and relevance of Frontier Science proposals, additional expertise will be contracted to provide input to ARAC. Routinely an additional review will also be sought for all proposals in Frontier Science.

Stage 2: Full application assessment criteria

Reviewers will be asked to recommend scores for Criteria 2-6 only.

The final score for all criteria will be assigned by the ARAC. Scores for Criteria 2-6 will be assigned based on the recommendations of the reviewers but moderated by the ARAC. Scores for Criterion 1 (Strategic Fit) and Criterion 7 (Outreach) will be assigned by the ARAC.

Criterion 1-Strategic Fit .

A. Criterion 1 – Fit to Plan for Themes 1-3 [Max Score 40]

1a) Will the research proposed provide a significant advance in answering a Key Research Question in the Australian Antarctic Strategic Science Plan? [Max Score=15]

- 0 Not demonstrated- [Score =0]
- 1 Research is likely to provide limited relevant information toward answering the key research question(s) selected [Score =1-5]
- 2 Research is likely to produce a useful contribution toward answering the key research question(s) selected [Score = 6-10]
- 3 Research is specifically designed to produce a significant contribution toward answering the key research question(s) selected [Score = 11-15]

1b) Has the applicant demonstrated there is a clearly identified end user for the research, and provided a credible path for adoption of the research within science and end -user communities? [Max Score=15]

- 0 Not demonstrated- [Score =0]
- 1 Research is unlikely to deliver useful outputs/outcomes in a form that is useful to the end user [Score =1-5]
- 2 Research is likely to produce useable outputs/ outcomes that should be useful for the end user. [Score = 6-10]
- 3 Research is specifically designed to produce the required outputs/outcomes in a form appropriate for the end user. [A letter of end user support should be included with

the application if the project is submitted as a "tactical" or "strategic" project.]
[Score = 11-15]

1c) Is this research identified as a priority in the Implementation Plan for this Stream? [Max Score=10]

- 0 Research planned is not considered relevant [Score= 0]
- 1 Research planned is identified in the Implementation Plan, but it is likely to only make a partial contribution [Score =1-4]
- 2 Research planned is identified in the Implementation Plan, and it is likely to make a significant contribution [Score =5-10]
- 3 The research approach is not identified in the Implementation Plan, but the approach proposed is considered better than that given in the implementation plan, and is likely to make a significant contribution [Score =5-10]

B. Criterion 1 for Theme 4: Frontier Science

Has the applicant adequately demonstrated that the research will address a National Research Priority ? Yes or No [This is a threshold question – only those that address an NRP will proceed to be scored]

C. Criterion 1 for Monitoring and Underpinning Science

Threshold questions- a yes to at least one is required to proceed to be scored

- a) Is the need for the monitoring well justified? [Y/N]
- b) Is the data required for Australian Government responsibilities or an international agreement that requires access to an Antarctic /Southern Ocean monitoring location? [Y/N]
or
- c) Is the need for this data included in the Implementation Plans for Theme 1, 2 or 3? [Y/N] If not does it replace an existing monitoring program and is it a better way to do it? [Y/N]

If yes to any of these threshold questions, will the monitoring proposed produce the required outputs/outcomes and is there an appropriate plan for archiving and analysing the data?

- 0 Monitoring /underpinning data that would be collected are unlikely to deliver useful outputs/outcomes [Score =0-5]
- 1 Monitoring/underpinning data that would be collected are Likely to produce useable outputs/ outcomes [Score = 6-20]
- 2 Monitoring/underpinning data designed specifically to produce outputs/outcomes at a high standard and in a readily available form [Score = 21-40]

Criteria 2-7 apply to Themes 1-3 and Monitoring/ Underpinning Science. Frontier science will use the same criteria but will have different scores [shown in blue](#)-see below for summary of scores.

Criterion 2 [Maximum Score 10 for Theme 1-3 and Monitoring [and 20 for Theme 4](#)]

Has the applicant demonstrated sufficient knowledge of the context for this research?

- 0 Not demonstrated.
- 1 Partial understanding of the scientific context for this research is demonstrated [Score =1/2]
- 2 Good understanding of the scientific context for this research is demonstrated [Score =2-5/ [4-10](#)]
- 3 Very good understanding of the scientific context for this research is demonstrated [Score 6-10 / [11-20](#)]

Criterion 3 [Maximum Score=20 for Themes 1-3 and Monitoring Underpinning Science / [Maximum Score = 40 for Theme 4](#)]

Are the methods proposed for data collection (including field work), analysis of samples and statistical analysis planned designed to appropriately meet the objectives of the project?

- 0 Not demonstrated.[Score =0]
- 1 Poorly designed collection of data, analysis of samples or statistical analysis [Score =1-5/[2-10](#)]

- 2 Generally well designed collection of data, analysis of samples and statistical analysis [Score= 6-14/11-28]
- 3 All aspects of data collection, analysis of samples and statistical analysis are very well designed [Score =15-20/29-40]

Criterion 4 [Maximum Score 10/ 15 for Theme 4]

Do the Project Leader and the Project Team have the skills and track record to deliver the outputs/outcomes of the project within the timeframe requested?

- 0 Not demonstrated[Score =0]
- 1 Project leader and team have demonstrated limited capability to lead and deliver results of this project [Score =1/ 1-4]
- 2 Project Leader and Team have a reasonable track record and have shown they can deliver projects relevant to this proposal on time [Score= 2-5/5-10]
- 3 Project Leader and team have demonstrated a very good track record and ability to deliver high quality results on time in projects relevant to this proposal [Score= 6-10/ 11-15]

Criterion 5 [Maximum Score 10/ 15 for Theme 4]

Is the budget appropriate to complete the project and does it represent good value for the investment required by the AAD?

- 0 Not demonstrated [Score=0]
- 1 Budget partially appropriate[Score =1/ 1-4]
- 2 Budget appropriate, and justified. Co-investment by CI and/ or collaborators minimal. [Score =2-5/5- 10]
- 3 Budget well planned, and justified. Significant co-investment demonstrated by either the CI or collaborators [Score 6-10/ 11-15]

Criterion 6 [Maximum Score 5 for all projects]

Is the project well planned, with roles and milestones clearly identified and the timeline appropriate?

- 0 Not demonstrated [Score 0]
- 1 Planning and feasibility appropriate for some aspects but not all [Score 1]
- 2 Reasonable planning and timeline outlined [Score 2-3]
- 3 Project very well planned with clear roles and milestones and timeline well considered [Score 4-5]

Criterion 7 [Maximum Score 5 for all projects] To be considered by the Assessment Committee only- not the reviewers.

Does the project have an appropriate outreach and education plan?

- 0 Not demonstrated. [Score=0]
- 1 Partially appropriate [Score=1]
- 2 Good outreach/education planned [Score= 2-3]
- 3 High quality outreach and/or education planned [Score= 4-5]

5.3 SUMMARY OF SCORING

The following percentages will be given for each criterion contributing to the total score. A final score will be assigned at the ARAC.

	Themes 1-3	Theme 4:Frontier Science	Monitoring/Underpinning Science
Criterion 1:	40%	Y/N	40%
Strategic Fit	Fit to Theme/Stream Goals	Threshold score Fit to National Research Priorities	Demonstrated importance/relevance of the monitoring proposed
Criterion 2:	10%	20%	10%

Scientific Context			
Criterion 3: Methods and Analysis	20%	40%	20%
Criterion 4: Track record of Team	10%	15%	10%
Criterion 5: Budget	10%	15%	10%
Criterion 6: Planning and Timeline	5%	5%	5%
Criterion 7: Outreach and Education	5%	5%	5%
TOTAL	100%	100%	100%

Themes 1-3 require demonstration of fit to Theme/Stream goals and science excellence, while Frontier Science will require fit to national priorities and science excellence. Monitoring and underpinning science projects require demonstration of the importance and relevance of the monitoring proposed to meet the goals of the Antarctic Strategic Science Plan or Australian Government obligations.

5.4 SCIENCE ASSESSMENT TIMETABLE

Date	Event
20 July	Online research Expression of Interest opens for 6 weeks
31 August	Closing date for the EOI
September-October	EOI assessment
October-November	Applicants invited to complete full application – 5 weeks
November-December	Reviews and rejoinders
February	Antarctic Research Assessment Committee evaluations
March	Applicants advised of the outcome of scientific assessments
June/July	Applicants advised grant outcomes and logistic support

5.5 ADDITIONAL ASSESSMENTS

Travel requests are forwarded to the Berth and Flight Allocation Committee which reviews the total seasonal demands on berths, flights and accommodation from research, operational support and other sources. In determining the final level of support for projects a number of considerations are taken into account, including the priorities set for the science program, and the necessary requirements of the operations support program (e.g. normal support personnel such as doctors, chefs and plumbers, plus essential maintenance or building project support).

Research proposals may also require further assessment by the:

- AAD's Territories, Environment and Treaties Section, Permits Officer, and/or Logistic/Marine science support areas
- Antarctic Animal Ethics Committee (for projects involving animals)
- Australian Antarctic Program Human Research Ethics Committee (for projects involving humans)
- Biodiversity Conservation Branch of the Tasmanian Department of Primary Industries, Parks, Water and Environment (for projects proposing to conduct research on Macquarie Island). Permit requests are the responsibility of the CI and need to be made by 1 July in the year they require the permit.

APPENDIXES

APPENDIX A ROLES, RESPONSIBILITIES AND DEFINITIONS

Chief Scientist

The role of the Chief Scientist is to:

- oversee the total Australian Antarctic scientific program, and specific duties in relation to the contribution of the AAD Science Branch to that program, and the relevance of the program to international Antarctic research programs
- be the primary contact for the Frontier Science Theme
- be responsible for the development of a coordinated program of research across all disciplines, and provide advice to the Director, AAD, on scientific work program priorities, developments and achievements
- oversee the coordinated development of strategic plans and the preparation of overview comments in published plans
- resolve any differences between Theme Leaders and ARACs, either individually or in consultation with the Director, AAD
- attend meetings of ASAC and ARAC.

Antarctic Research Assessment Committee (ARAC)

ARAC is responsible for the assessment and ranking of all research proposals, assessing milestone and final reports for Australia's Antarctic science program.

Theme Leaders

- Lead the implementation of research identified under their theme and manage stream development.
- Provide leadership and support for stream leaders within their research theme.
- Provide ongoing support and communication on a regular basis to all researchers participating in the program under their theme.
- Assist in the development of the overall implementation plans for the program to utilise resources as efficiently as possible for the highest priority research projects.
- Assess the progress of continuing projects and advise the research assessment committee of any issues, including change of investigators, changes in requested logistic support, and lack of expected progress.
- Identify areas of research requiring particular attention and establish collaborative links with researchers with the capability to address these areas.
- Coordinate and where appropriate lead delivery of core theme outputs to government stakeholders.
- Report annually to the program's Chief Scientist and ASAC on progress in relation to the plan.

Stream Leaders

Theme leaders will be supported by stream leaders. Stream leader positions are honorary appointments within the program <http://www.antarctica.gov.au/science/australian-antarctic-science-strategic-plan-201112-202021/stream-leaders>.

Stream leaders will assist applicants develop proposals. They will also assist developing implementation plans for and monitoring progress within their stream. Stream workshops will be held as required to design coordinated and integrated research plans.

Science Planning and Coordination (SP&C) Section

The role of SP&C Section is to:

- coordinate (with Theme Leaders) the processes necessary for development of individual programs, and integrate plans into a logistics framework
- maintain formal governance procedures that ensure decisions are documented to the satisfaction of Government administrative requirements
- manage the Australian Antarctic Science Grants Program
- provide secretariat support to ASAC, ARAC, AAEC, and the HREC
- manage the publications database for the Antarctic Science Program.

Antarctic Animal Ethics Committee (AAEC)

The role of the AAEC is to:

- ensure adherence to the National Health and Medical Research Council Code of Practice is maintained and the AAEC and researchers be familiar with its contents and abide by its requirements
- ensure that the use of animals is justified, provides for the welfare of those animals and incorporates the principles of Replacement, Reduction and Refinement
- encourage the development of safer and less stressful techniques and procedures to be used with Antarctic species
- develop and maintain a set of guidelines in respect of animal experimentation and welfare in Antarctica including the consideration, where feasible, of alternatives to the use of live animals in experimentation
- examine research proposals relevant to the use of animals in experiments which are supported by Australia's Antarctic program, either directly or in kind, and approve only those experiments which conform to the requirements of these guidelines, taking into consideration ethical aspects as well as scientific or educational merit
- maintain a register of approved experimental proposals, including a description of techniques and the names of those using animals for experimental purposes
- ensure that all experimenters maintain adequate records of animal usage
- ensure that the requirements of all Commonwealth, State and Territory legislation are met.

The AAEC does not examine research proposals for animal research undertaken on Macquarie Island unless the researchers are AAD employees.

Australian Antarctic Program Human Research Ethics Committee (HREC)

The Australian Antarctic Program HREC is responsible for overseeing all research involving humans as part of Australia's Antarctic science program.

Antarctic Science Advisory Committee (ASAC)

With the objective of assisting in the development of science strategy, evaluation of science quality, advice on the infrastructure and capability required to support the science program, and alignment with national and international science programs, the role of ASAC is to:

- Advise the Government, through the Minister for Sustainability, Environment, Water, Population and Communities on:
 - the broad direction of the scientific components of Australia's Antarctic program, including operational and logistical activities required to support these
 - priority areas for scientific research, having regard to the support of Government goals for Australia's Antarctic program and other relevant Australian Government Priorities

- measures to ensure an effective Australian participation in international scientific and operational programs involving the Antarctic.
- Recommend to the Government, through the Minister for Sustainability, Environment, Water, Population and Communities, on ten-year strategic plans for Australian scientific activities in Antarctica and the Southern Ocean and the major resources required to implement these activities. Each ten-year strategic plan would be subject to a mid-term review overseen by ASAC and the Chief Scientist.
- Advise the Government, through the Minister for Sustainability, Environment, Water, Population and Communities, of any liaison arrangements between government departments and authorities, advisory bodies, research organisations and individual scientists which may enhance Australia's Antarctic interests.
- Advise the Minister for Sustainability, Environment, Water, Population and Communities, through the Secretary of the Department, on management matters in the Antarctic Division if they have significant impact on the implementation of the scientific program.
- Provide regular evaluation for the Government, through the Minister for Sustainability, Environment, Water, Population and Communities of the success of the Antarctic program in meeting Australia's scientific objectives. A report on Australia's major scientific achievements should be published annually.
- Undertake other studies or reviews as the Minister for Sustainability, Environment, Water, Population and Communities may from time to time request.

National Committee on Antarctic Research (NCAR)

This is a national committee within the Australian Academy of Science. The aims of the committee are to:

- Foster Antarctic science in Australia and serve as an effective link between Australian scientists and overseas scientists working on Antarctic issues. It has responsibility to:
 - liaise with the ICSU Scientific Committee on Antarctic Research (SCAR) and keep SCAR informed of Australian activities and plans
 - promote, support, and where appropriate, coordinate active Australian involvement in the planning, implementation and management of international programs within SCAR
 - work to ensure that research programs of Australian national importance are supported within the SCAR sub-committees and at the Delegates meeting
 - promulgate the national value and benefits of Antarctic and Southern Ocean science
 - provide, as required, independent, in-depth and expert review of the national Antarctic scientific program.

The current workplan for this committee can be found at <http://www.science.org.au/natcoms/nc-antarctic.html>.

APPENDIX B LEGISLATIVE REQUIREMENTS (INCLUDING MACQUARIE ISLAND)

Applicants wishing to conduct research in the Antarctic or subantarctic, need to be aware of, and comply with, all national and state legislative requirements, including those below.

National environmental legislative requirements for the Antarctic and subantarctic Territory of Heard Island and McDonald Islands

Certain activities, which include entry to Antarctic protected areas and the Territory of Heard Island and McDonald Islands, use of helicopters, disturbance or interference with seabirds and marine mammals, sampling, import and export of specimens, introduction of non-indigenous species, use of weapons, etc. may be offences under national laws, unless the activities have been:

- assessed to identify the impact it is likely to have on the environment; and/or
- authorised in a permit(s).

Detailed information on environmental impact assessment and permit requirements are available within the Environment Section of the Australian Antarctic Division website at <http://www.antarctica.gov.au/environment/environmental-impact-assessment-approvals-and-permits>. This site provides relevant downloadable forms and has links to other related websites.

Please ensure that you are aware of all these environmental legislative requirements and that requirements have been satisfied before you depart for the Antarctic or subantarctic.

State environmental legislative requirements for Macquarie Island Nature Reserve

Macquarie Island is part of the state of Tasmania. In accordance with Section 37 of the *National Parks and Reserves Management Act 2002*, Macquarie Island Nature Reserve (including its surrounding waters to three nautical miles) is declared a Restricted Area to which the public has no general right of access. Pursuant to Regulation 11 of the National Parks and Reserved Land Regulations 1999, a person must not enter or remain in the reserve unless the person is granted authority by the Director, or the person is accompanied by an authorised person. Special Management Areas are declared from year to year to further protect vulnerable species, vegetation communities or sites extremely vulnerable to human disturbance.

Permits for scientific research on Macquarie Island must be obtained, and are issued by the Tasmanian Department of Primary Industries, Parks, Water and Environment. The application form and guidelines are available at <http://www.dpiw.tas.gov.au/inter.nsf/Topics/LVAE-55535W?open>.

The Occupational Health and Safety Act 1991

The Australian Antarctic Division takes its safety responsibilities seriously; therefore to participate in the program you will be required to undertake activities in accordance with the safety standards. Guidance on what is required will be provided. Some activities will require specific training. The Act is available at <http://www.comlaw.gov.au/Series/C2004A04105>. The Australian Government is currently reviewing the Act and new legislation will come into force from 1 January 2012.

APPENDIX C ORGANISATIONS ELIGIBLE TO RECEIVE GRANTS

New South Wales	Charles Sturt University Macquarie University Southern Cross University The University of New England The University of New South Wales The University of Newcastle The University of Sydney University of Technology, Sydney University of Western Sydney University of Wollongong
Victoria	Deakin University La Trobe University Melbourne College of Divinity Monash University RMIT University Swinburne University of Technology The University of Melbourne University of Ballarat Victoria University
Queensland	Bond University Central Queensland University Griffith University James Cook University Queensland University of Technology The University of Queensland The University of the Sunshine Coast University of Southern Queensland
Western Australia	Curtin University of Technology Edith Cowan University Murdoch University The University of Notre Dame Australia The University of Western Australia
South Australia	The Flinders University of South Australia The University of Adelaide University of South Australia
Tasmania	University of Tasmania
Northern Territory	Charles Darwin University Batchelor Institute of Indigenous Tertiary Education
Australian Capital Territory	The Australian National University University of Canberra Australian Institute of Aboriginal and Torres Strait Islander Studies
Multi-State	Australian Catholic University

State-funded Museums and Institutions

State-funded museums and institutions must obtain prior approval from the Chief Scientist before seeking AAS Grant support. In doing so applicants will need to demonstrate the research planned could not be considered a core responsibility for their State institution to support.

APPENDIX D VOLUNTEER GUIDELINES

Volunteer fieldworkers

Please note that the AAD Volunteer Policy stipulates that no staff of the AAD may engage volunteers for science projects. Only chief investigators who are not employed by the AAD may continue to engage volunteers, and such engagement should follow the *code of ethics* for volunteers as outlined below.

Many projects with substantial marine science or field components make use of volunteer fieldworkers. Volunteers are often young scientists who put a great deal of time and effort into the project on which they are working. In recognition of the valuable contribution made by many of these people to the overall Antarctic science program, the Antarctic Science Advisory Committee (ASAC) has agreed that their effort should be suitably recognised and has formulated a *code of ethics* for the employment of volunteers.

ASAC recommends that volunteers should be:

- regarded, where applicable, as scientific collaborators/colleagues on the project
- encouraged, where appropriate, to participate in the publication of results (and/or included as co-authors of relevant publications) arising from the project
- encouraged (and arrangements facilitated if they are interested) to use some of the data they have collected towards research for a higher degree or diploma from a collaborating university (this should be arranged prior to their participation in the field)
- covered by the workers' compensation arrangements or insurance appropriate to the institution that employs the CI of the project; it is the responsibility of the CI to arrange appropriate cover prior to departure of the volunteer for the field.

All expenses arising from a volunteer's involvement in the project (eg. fares to and from Hobart for field training or to join the ship) should be met from project funds and not from the personal funds of the volunteer. Such expenses may also be sought by the CI from AAS Grant funding if the CI is eligible. Where a volunteer is required to meet any expenses associated with his or her participation as a volunteer, the nature and amount of any such contribution should be agreed and documented before commencement of the activity.

If applicable, a Volunteer Proposal Form is forwarded to the CI with the notification of approval for their project. The details sought in the form are required for every individual proposed for volunteer service as part of the Australia's Antarctic Program. Volunteers are defined as those providing unpaid assistance within projects. However, postgraduate students undertaking fieldwork as an integral part of their research are NOT considered as volunteers. **Nominations for volunteers by the CI must be made at least 13 weeks before departure for those resident in Australia, and 17 weeks for those from overseas.** Any questions associated with the use of volunteers should be directed to the relevant Program Leader.

Volunteer Proposal Form

This form must be completed by the chief investigator (CI) of an approved Australian Antarctic Science (AAS) project for each volunteer proposed. Volunteers may be used only by university-based researchers, and must be approved by Theme Leaders. The process for selection of volunteers and the outcomes of their involvement must be able to withstand close public scrutiny.

Volunteers are people providing unpaid assistance to scientific research projects. Graduate students enrolled for a higher degree and undertaking research towards that degree in Antarctica are not defined as volunteers.

As the costs to the Commonwealth of transporting people to, and keeping them in Antarctica are very high, CIs and Theme Leaders are obliged to ensure that those chosen are done so through an open and accountable system. Whenever possible, volunteers should be chosen with a view that the experience is likely to benefit their career development. Above all, CIs must be able to justify why taxpayers' money should be expended in the manner they propose. Theme Leaders will need

a compelling case to approve an overseas resident as a volunteer in the Australian Antarctic Science Program.

Please answer all questions

1. AAS project requiring volunteer (project title, number, chief investigator (CI)).
2. Details of task(s) to be undertaken by volunteer.
3. When and where are these tasks to be undertaken?
4. What would be the consequence of not involving this volunteer in this project?
5. Proposed supervisory arrangements of volunteer.
6. What arrangements have been made / are planned for regular reporting / urgent contact for advice to / from CI?
7. What relevant training will the volunteer receive before departure and on the job?
8. What arrangements have been made for worker's compensation insurance of the proposed volunteer?
9. What arrangements have been made for covering essential expenses incurred by the volunteer (i.e. medicals; travel to and from Hobart for field training and to depart for Antarctica / subantarctic; accommodation in Hobart associated with field training and departure / return travel)?
10. Name of proposed volunteer.
11. Qualifications and experience of proposed volunteer relevant to tasks to be undertaken (attach CV, references, and any other pertinent information).
12. Briefly describe the process for volunteer selection.
13. What arrangements have been made to involve the volunteer in collation / interpretation / publication of data?
14. Describe the expected benefits the volunteer will receive as a result of their involvement in the project, especially with respect to their career development.
15. [FOR NON-AUSTRALIAN RESIDENT PROPOSALS ONLY] Justify why this position is not able to be filled by an Australian resident.

A completed Volunteer Proposal Form should be submitted to Science Planning and Coordination by email to planning@aad.gov.au, together with a CV for each volunteer.